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1 (Video Conference.) 2 THE COURTROOM DEPUTY: Civil cause for a hearing on 3 Farghaly versus City of New York, 16-CV-660, before Judge 4 Gershon. 5 May I have the appearance for the plaintiff. 6 MR. NAZRALI: Rehan Nazrali for the plaintiffs. 7 THE COURT: Can I get the spelling of your last 8 name, sir? 9 MR. NAZRALI: N-A-Z-R-A-L-I. 10 THE COURTROOM DEPUTY: For the defendant? 11 MS. McGUIRE: Caroline McGuire for the defendant. THE COURT: Good morning, counsel. 12 13 I wanted to first speak with you about what is going 14 to be happening after today and after today's hearing, and then we'll get into the motions, which are defendant's motion 15 16 in limine, plaintiff's motion in limine, and defendant's 17 motion to preclude the expert opinions of Dr. Koyen and Dr. 18 I want you to know that I do not anticipate that I 19 will be handling the jury trial for the foreseeable future. 20 For that reason, I want to layout for you what your options 21 You won't be asked by me to make any decisions today but 22 I want you to speak about it among yourselves after today's 23 conference. And I'll give you a date by which I want to hear 24 from you. 25 Let me just talk to you about those options.

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first option would be that you consent to the magistrate judge, who at this time is Magistrate Judge Ramon Reyes, who is actually up for becoming a district judge in our district. It looks like that may happen fairly soon, but we can't predict these things. I noted that in your pretrial order you did not consent to a magistrate judge, but maybe your views will change after what we discuss at today's hearing. I wanted to lay that out. That's option number one, consent to the assigned magistrate judge, Judge Reyes.

The second option, which you may or may not be familiar with, is that you can consent to a different magistrate judge to be selected at random. In other words, you cannot just say I want judge so and so, selected at random. If you look at the consent form for magistrate judge you'll see that is described. But I need you to understand that if you do choose that option, once another magistrate judge is selected for trial purposes, you're committed to that. You can't say, oops, I've changed my mind I want to go back and go to a district judge or a different magistrate judge. I think that's clear from the notice form; I wanted to make it completely clear.

The third option is you can use the services of

Judge Reyes for settlement purposes. I'm hoping that once I

resolve these motions you'll have a better idea of what the

trial will look like for each side and it may help you reach a

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settlement, which I appreciate you were not able to do before.

The fourth option is that since the pandemic in the Court we have a trial ready program that our ADR office runs in which they reach out to former magistrate judges who have retired from the bench but are still working for the purposes of settlement, and that has been a very affective procedure. You might want to think about that.

Then finally, if there is no prospect of settlement and if there is no consent to trial before a magistrate judge, the fifth option is that I will send this case out for reassignment to another district judge for trial purposes.

Let's say within three weeks, February 17, after you've had a chance to confer with each other let me know in a joint letter which option you've chosen.

Will that work for you, three weeks to hear from you?

MR. NAZRALI: Yes, your Honor.

MS. McGUIRE: Yes, your Honor.

THE COURT: Obviously you don't need to tell me -if you've decided that you want to go to a district judge, you
don't need to tell me you didn't consent to a magistrate
judge. We don't like to know who consented and who didn't.
With no pressure on you, just let us know what the choice is.

In the meanwhile, as I said, today I'd like to hear from you on your motions if you have anything that you want to

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add to your papers; otherwise, I'll go ahead and rule on the motions.

Anything that either of you would like to add?

MR. NAZRALI: No, your Honor.

MS. McGUIRE: Nothing for defendants, your Honor.

THE COURT: Okay. I should also say that obviously an assigned trial judge can make changes, but I do think it would be useful to have my rulings on the record based on my familiarity with the case. Because I'll not be trying the case, for the most part I'm not going to be discussing proposed voir dire and requested charge with you, which you also have in your papers, I'll leave that to the trial judge. But there were two requests that the defendants made in their motion in limine relating to the jury instructions, I will address those.

In the defendant's motion in limine first, there were some issues that came up, which were really on request by the plaintiff even though it was the defendant's motion. I think I should address that first.

Plaintiff requested a preclusion of any references to Officer Soto's probable cause for the arrest. That request is granted. Officer Soto's probable cause for the arrest is of no moment to the plaintiff's remaining claims relating to excessive force.

The second topic are two requests that are related,

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I'll address them together. Those are plaintiff's requests to preclude references to the facts of the arrests and defendant's request to instruct the jury that the arrest was lawful.

Plaintiff's request to preclude references to the facts of the arrest is denied. The arrest is relevant and necessary to allow the jury to understand the entire timeline of events, and that timeline should not be unnaturally truncated. The arrest also provides context for exhibits, which defendants have identified in their pretrial order, including arrest report, mug shots, and the like. Nothing that I can see in Federal Rule of Evidence 403 justifies preclusion of references to the facts of the arrest. It says nothing about whether the arrest was lawful or not, so as to be unfairly prejudicial to plaintiffs, and I think truncating the timeline would lead to more, not less, jury confusion and speculation. So this request is denied.

On the other hand, I would instruct the jury that they do not need to concern themselves and should not speculate about whether the arrest was lawful or not; because whether it was lawful or not isn't relevant to plaintiff's claims. This instruction would address, in my mind, defendant's concern that the jury may otherwise seek to compensate the plaintiffs for the entire incident, including the arrest, while also avoiding prejudice to the plaintiffs

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that could result from going as far as the defendant's suggest and instructing the jury that the arrest was lawful. We want to make sure that the jury is not conflating the lawfulness of the arrest with the lawfulness of the use of force. We want to separate that. In short, I would permit references to the facts of the arrest, but instruct the jury that they are not to consider or speculate as to whether the arrest was lawful or not.

The next topic is two requests, which are also related. Defendant's request that plaintiffs be precluded from referring to the defendants and their counsel as the city, city attorneys or corporation counsel. And defendants' request that the jury only be instructed on the federal excessive force claim rather than on both the federal claim and the state law assault and battery claim.

So I'm now addressing Ms. McGuire. What I have typically done in the past, which has been affective, and you may be familiar with this practice, I would be prepared to direct that plaintiffs not be permitted to refer to defendants as city counsel and just be referred to as the individual defendant and individual defendant's counsel. As wells to combine the federal and state jury charges, so long as the city commits on the record that if the jury finds that the individual defendant used excessive force that the city is indeed vicariously liable understate law respondeat superior

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doctrine for the verdict against the individual defendant.

MS. McGUIRE: Understood, your Honor. I believe we concede that Officer Mitchell was acting within the scope of his employment, which would obviate the respondent issue.

THE COURT: When you say obviate it, you mean the city is bound by it.

MS. McGUIRE: We would be bound by it. But what I would just note, is based on state law we don't make indemnifications until a final judgment is rendered.

THE COURT: Indemnification is a completely different issue. Whether the city indemnifies the defendant or not, is the city itself is liable under respondeat superior, it pays. Period. Right?

MS. McGUIRE: Correct.

THE COURT: Okay, so that's what I'm talking about.

I'm not talking about -- we don't have to go into the whole indemnification issue.

The question is, do you accept that if I combine and just talk about excessive force, I don't tell the jury it's federal law, it's state law, whatever, that just describe what the charge is, just describe in the charge what the elements of an excessive force claim is, that you understand that if they find excessive force it means that state law as well as federal law has been violated and the city has to pay due respondent superior.

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1 MS. McGUIRE: Yes, your Honor. We understand that. 2 THE COURT: Okay. Do you agree to that? If you 3 agree to that, then I think my solution is a good one. hear from plaintiff's counsel as well, but I want to know 4 5 first what your position is. 6 MS. McGUIRE: Your Honor, I believe defendants would 7 be inclined to agree with that. But I would like to just run 8 it up to my supervisor before putting it on the record that we 9 do agree. Perhaps in the joint letter due on February 17 we 10 can indicate whether or not we would agree to that. 11 THE COURT: Okay. Just understand that if you 12 don't, I would deny both of your requests. 13 MS. McGUIRE: Understood, your Honor. 14 THE COURT: Okay Mr. Nazrali. 15 MR. NAZRALI: Yes. I mean, I think the argument for vicarious liabilities has been made, it's clear as evidence. 16 17 I think counsel has the authority and the legal name to 18 countenance the request of the Court. But I believe that the 19 Court's wisdom is prudent here I think. I concur with the 20 Court's position. 21 THE COURT: Okay. We'll note that we'll hear from 22 defendants. I want to put on the record, just so everything is 23 24 clear going forward, certain requests that were unopposed and 25 they are going to be granted as unopposed. There are guite a

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few of these.

Defendants request that plaintiffs be precluded from referencing any claims that were dismissed or voluntarily withdrawn by plaintiffs or introducing evidence such as damages concerning those claims. That's one.

Second one is defendants request that plaintiffs be precluded from suggesting or presenting evidence regarding indemnification of traffic agent Mitchell.

The third is defendants' request that plaintiffs be precluded from offering any evidence or eliciting any testimony about the NYPD patrol guide, provision, training or policy.

The fourth is defendants' request that plaintiffs be precluded from inquiring into Mitchell's or other officers past acts, including Officer Soto.

The fifth is defendants' request that plaintiffs be precluded from offering any testimony or arguing about what they believe traffic agent Mitchell could or should have done.

The sixth is defendants' request that plaintiffs be precluded from referring to other instances of police misconduct.

And finally both parties agree that neither side should suggest a specific dollar amount to the jury on summation or at any time during the trial.

Have I got those correct?

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1 MR. NAZRALI: Yes.

THE COURT: There were also a couple of requests that were withdrawn, I'm going to treat them as withdrawn by the defendants and make no ruling on them.

The first related to plaintiffs' introduction of traffic agent Mitchell's deposition transcript for substantive purposes.

The second was the defendants' request that the city be removed from the caption. That was based on an earlier argument which the city has withdrawn.

The plaintiffs had only one request in their motion in limine and that the bystander video recording be excluded. While recognizing the relevance of the video, plaintiffs argue it should be excluded under Rule 403. I'm going to deny that request.

Going through the various grounds that are possible under 403, the video is not cumulative. It provides a perspective of the altercation that will not come from a party witness. Relatedly, it depicts body language and contains audio that will not be captured by the parties' testimony. It will also assist the jury in determining what to took place before the video begins. The jury can consider whether the events, body language, and the audio in the video make plaintiffs' or defendants' version of events taking place before the video more or less likely. I'm not persuaded by

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the two reasons that the plaintiffs offer as to why the video will unfairly prejudice them. And any risk of unfair prejudice certainly does not substantially outweigh the video's probative value as required by Rule 403.

Prejudice contemplated by Rule 403 must go beyond merely favoring one side. It must be unfairly prejudicial.

First, plaintiffs' argument that jurors will give me weight to the video because it is a video while the plaintiffs will only be offering oral testimony about what happened, is simply an argument that the video favors the defendants, which have already stated is not a reason to exclude it under 403. Courts in this circuit permit video evidence even when it favors one party.

I also reject the plaintiffs second argument for excluding the video, which is that it doesn't depict the entire altercation. I think the jury can understand that the video doesn't do that, and will be able to consider

Mr. Farghaly's testimony to what happened prior to the video.

The request to preclude the bystander video is denied.

Any comment on that?

MR. NAZRALI: No, your Honor. That's fine.

THE COURT: Okay. Let me go on to the defendants'

Daubert motion, which is governed by Federal Rule of Evidence.

702.

In the Daubert case, 509 U.S. 579, the Supreme Court

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explained that Rule 702 contemplates -- (audio interruption) -- for the trial judge, but it also makes clear that the ruling bodies of liberal standard of admissibility for expert opinions, I would cite Second Circuit case 1995, McCullock versus H.B. Fuller Company, 61 F.3d 1038 at 1042 to 44, as just an example of that principle. The trial court's gatekeeper role is not intended to serve as a replacement for the adversary system. As Daubert explained, quote, "vigorous cross-examination, presentation of contrary evidence, and careful instruction on the burden of proof are the traditional and appropriate means of attacking shakey but admissible evidence," close quote.

With these principles in mind, I for the most part, deny defendants' motion to exclude the testimony of Dr. Koyen and Dr. Uhrig. Although I grant the motion to the extent it seeks to exclude the doctors from just regurgitating the factual narrative of the altercation as told to them by Mr. Farghaly in their testimony. And I'd like to explain my reasons for that now.

Beginning with Dr. Koyen. Defendants seek to exclude the testimony of this doctor because they argue plaintiffs have not established that he's qualified to render the opinions he offers and his testimony is not based on reliable methods. Now, whether an expert is qualified is a question that is important. But when it comes to medical

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doctors, courts don't demand that the medical doctor be a specialist in the exact area of medicine implicated by the plaintiff's injury, if the doctor has the educational and experiential qualifications in a field closely related to the subject matter in question. Here, Dr. Koyen's CV establishes that he has been in private practice as a physiatrist for 15 The American Academy of Physical Medicine and Rehabilitation, with which he's affiliated, explains that a physiatrist treats a wide variety of medical conditions affecting the brain, spinal cord, nerves, bones, joints, ligaments, muscles and tendons. Dr. Koyen's own practice, according to his CV, includes rehabilitation after stroke, rehabilitation after surgery, electro diagnostic studies, trauma care, senior care, neurodiagnosis and care, and employment-related injury care. According to his CV, his education and training includes a residency in physiatry at the Kingsbrook Jewish Medical Center from 1987 to 1990. A residency in general medicine at Salem Hospital from 1986 to 1987. Attendance at Boston University School of Medicine. This experience, training, and education clearly

This experience, training, and education clearly qualifies him to diagnose Mr. Farghaly's lumbar spine injury and offer an opinion on causation based on his review of two MRIs in Mr. Farghaly's lumbar spine and his own physical examination.

The defendants challenge the reliability of

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Dr. Koyen's diagnosis and causation in them. Courts considering the reliability of such testimony consider a variety of factors, including the doctor's training and experience, and whether the doctor reviewed the patient's medical records, performed diagnostic tests, and examined the patients. Dr. Koyen, as the report makes clear, he reviewed Mr. Farghaly's medical records, including two MRIs of the lumbar spine, that he physically examined Mr. Farghaly, and that he performed diagnostic tests. So this is sufficiently reliable for a medical doctor to diagnose the injury and also to render an opinion as to the cause of the injury.

Now in this case the defendants have argued principally that his opinion isn't reliable because he didn't explain how he reached his causation opinion and did not explicitly rule out other causes. The defendants speculate that Mr. Farghaly's lumbar spine injury could have been caused by some other cause, such as his job. Well, while it's true that Dr. Koyen does not explicitly spell out how he reached his conclusions regarding causation, as one judge had explained in rejecting a Daubert challenge, I believe it actually was -- I'm trying to think of the name of the judge -- a very fine judge who was also corporation counsel at one point coincidentally. The case was Reyes versus Delta Dallas Alpha Corp. 2000 Westlaw 526851 at page two, or star two I should say, Southern District of New York May 2, 2000,

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said, "this is not a case involving complex questions of medical causation where it would be necessary to use sophisticated scientific theory or methods to determine the cause of injury."

I'm satisfied that Dr. Koyen's review of the medical records and his physical examination, including performing diagnostic tests, are sufficiently reliable methods of rendering an opinion as to the cause of the lumbar spine injury.

Defendants challenges go to the weight not the admissibility of Dr. Koyen's testimony, and can be explored by the defendants on cross-examination.

Turning now to Dr. Uhrig. His testimony is challenged on the ground that plaintiffs have not established that his testimony will assist the trier of fact and is reliable. I reject both of these grounds.

Obviously, for expert testimony to assist the trier of fact as required by 702 it has to be relevant, and it shouldn't be directed solely to lay matters which a jury is capable of understanding and deciding without the expert's help. Here, the defendants argue that a jury can understand plaintiff's purported injuries without Dr. Uhrig's unnecessary assistance, and an expert is not needed to explain how one might feel after a sudden event. I disagree.

According to his CV, Dr. Uhrig is a New York state

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licensed psychologist, also a Ph.D in counseling phycology, has been employed in the field since at least 2009, and since 2012 has maintained his own psychology practice. Dr. Uhrig's diagnostic impressions of Mr. Farghaly were major depression and anxiety disorder. His diagnostic impressions of Mr. Farghaly's wife, Ms. Mohammed, were major depression, anxiety disorder, and posttraumatic stress disorder/chronic. He opined that these conditions were caused by the altercation with traffic agent Mitchell. Such opinions with these type of diagnostic impressions require a medical professional; clearly they couldn't be made by a jury without a doctor's assistance.

It is more than, as defendants characterize the testimony, that plaintiffs felt upset after a sudden event. So I'm not going to exclude Dr. Uhrig's diagnostic impressions on the ground -- and causation of opinion -- on the ground they wouldn't assist the trier of fact.

Now, the defendants also argue that Dr. Uhrig's diagnostic impressions and causation opinion are not based on reliable methodology. But his testimony is based on his meeting with and, quote, "mental status examination," close quote, of the two plaintiffs. It's apparent that Dr. Uhrig, relying on his years of experience as a psychologist, training and education, rendering his diagnostic impressions and causation opinion. I'm satisfied that a meeting and discussion is a reliable method for qualified psychologist to

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diagnose psychological injuries and render an opinion as to their cause.

And defendants offer no basis for thinking that those aren't the reliable methods for use by a psychologist.

To the extent that defendants take issue with Dr. Uhrig's opinion as being, quote, "diagnostic impressions," close quote, or for not sufficiently explaining his reasons for reaching his diagnosis or causation opinion, such challenges go to the weight and not the admissibility of the testimony.

Finally, I do want to go back to what I said in the beginning. That I do agree with the defendants that neither doctor should be permitted to just regurgitate the narrative facts about the altercation between the traffic agent and Mr. Farghaly, which would be simply repeating what Mr. Farghaly told them. Such testimony is cumulative of other evidence and it's not the appropriate subject of expert testimony. This ruling, of course, is subject to being revisited if, for example, the defense were to open the door in cross-examination.

In sum, I deny the Daubert motions, except to the extent that the doctors are not permitted to testify as to the narrative of the altercation as told to them by Mr. Farghaly.

That, counsel, will conclude my rulings. I'm wondering if there was anything else that I could help you

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resolve today that would help move this case forward?

MR. NAZRALI: Yes, your Honor. The question about the ruling with respect to the Daubert motion and exclusion of the apparent regurgitation of --

THE COURT: Yes.

MR. NAZRALI: That doesn't exclude the plaintiff from asking the doctors why the plaintiff first sought treatment with them, right? They would have to refer to the --

THE COURT: I think obviously they would have to refer to it in a very general way, why he came, that he came, he reported that he came after an incident that occurred with a traffic agent. He may say he was arrested or not. But he has to say something, of course. I agree with you.

What I'm saying is that Mr. Farghaly, from what I know from motion for summary judgment, has a long and detailed explanation of what happened. And what I'm trying to avoid is the situation where his version of events becomes treated as a version that is accepted by the jury because it's recited by an apparent expert.

MR. NAZRALI: I would want to connect that the relationship between the doctors and the plaintiff is in fact this event. It would be sort of — it would be testifying sort of in a vacuum if I don't have anything to contextualize the relationship. I'm thinking somehow, even a limited —

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obviously reference would be essential, because that would set the sort of space from which the jury will assess how they arrived at their opinions.

THE COURT: I understand what you're saying. I think you're making a very good point. I think, as I said, if the defendants on cross-examination open the door to a detailed recitation of what Mr. Farghaly said, that could happen because the defendants may want to say, well, you're relying just on what Mr. Farghaly told you, aren't you. I would obviously -- that's what they have to, what the expert has to rely on it. If they challenge that and go into the details of what Mr. Farghaly said, well, obviously you have to be able to address that as well.

Maybe this is something that counsel can talk about before the trial and have a sense of -- for example, maybe a good idea, Mr.Nazrali, would be for you to identify how you intend to approach that with the doctor in your direct examination. See if the defense has any objection to it.

MR. NAZRALI: A limited exploration of why they are there and connecting it to each other.

THE COURT: Right. And the doctor may have to say, well, if he got punched in the chest by a traffic agent, this could make him feel X, Y, Z. I don't know exactly what his testimony will be. So there would have to be some reference to why Mr. Farghaly is seeing a psychologist. I just don't

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want a situation where you would ask the doctor, well, and Mr. Farghaly told you X and Y an Z, you make a long marshaling of Mr. Farghaly's evidence through the expert; and then it becomes as if the expert is setting forth the same evidence that Mr. Farghaly did.

MR. NAZRALI: Your Honor, if I may. The psychologist, he's particularly bound by a narrative. He's bound by that. He makes his judgments by assessing this narrative essentially, and determining the inflexion points in that narrative. Those are critical. For example, the contact. The contact is the trauma. For me, if I can't reference it, what is the basis of your finding for trauma, well, he would have to describe that he underwent a traumatic incident and what the details of that are, are part of the basis of his diagnosis.

THE COURT: I think they said, to the extent that that's correct, then I think he does have to discuss it. But it can be done in a way where he is reciting where it's known that it's based on what Mr. Farghaly told him, and that he doesn't have any -- obviously he wasn't there -- he doesn't have any personal knowledge of it.

MR. NAZRALI: So a caveat: This is based on what Mr. Farghaly said to you, right, Doctor?

Something like that? Some kind of --

THE COURT: That may be sufficient. As I say, it

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makes sense for you to prepare your direct on this and share it with defense counsel so that if there are any disputes about the way it's stated they can be handled in advance of the trial.

MR. NAZRALI: So we will revisit this question a little bit further at the time of the trial.

THE COURT: Yes.

Ms. McGuire, are you okay with this?

MS. McGUIRE: Yes, your Honor. Defendants agree with your Honor's ruling that the doctor shouldn't be giving the narrative events to the jury. I think that was the heart of your Honor's ruling.

THE COURT: Yes. But it may come up in the course of a question as to what the basis for his concluding that there was mental trauma.

MS. McGUIRE: Yes.

THE COURT: Okay. Anything else that we can take care of today?

MR. NAZRALI: I'm always amenable to discussion for settlement. That's something for counsel for the city has to be prepared for.

MS. McGUIRE: I was going to say nothing further for defendants, your Honor.

THE COURT: Okay. I think we'll look forward to hearing from you February 17, I believe is the date, on one